

3624



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Electronic Patent Application Submission  
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EFS ID: 23262  
Application ID: 09775599  
Title of Invention: SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM  
AND METHOD  
First Named Inventor: Joseph GATTO  
Domestic/Foreign Application: Domestic Application  
Filing Date: 2001-02-05  
Effective Receipt Date: 2003-02-14  
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Filing Type: null  
Confirmation Number: 9235  
Attorney Docket Number: 23449-016  
Digital Certificate Holder: cn=Bradford C. Blaise, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
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Submission Type: Information  
Disclosure Statement

Application Number: 09/775,599  
Attorney Docket Number: 23449-016

## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

First Named Inventor: Joseph G. GATTO

### SUBMITTED BY

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Registration Number: 47,429  
Electronic Signature Mark: Bradford C. Blaise  
Date Signed: 20030214

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### Attached Files:

us-information-disclosure-statement

09775599ids.xml

**Comments:**

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. 1.97(b). A Supplemental Information Disclosure Statement citing foreign patents and "Other Documents" is being filed in paper form on even date.

# Electronic Information Disclosure Statement



## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application:



09/775599

Confirmation: 9235

Applicant(s): Joseph GATTO

Docket

23449-016

Number:

Group Art

3624

Unit:

Examiner:

Richard C. Weisberger

search string:

( 3270190 or 5365425 or 5500795 or 5613072 or 5675746 or 5761442 or 5774880 or 5774881 or 5802518 or 5812988 or 5819271 or 5852811 or 5864871 or 5909669 or 5911136 or 5946666 or 5956691 or 5963922 or 6119103 or 6253192 or 6317726 or 6370516 or 6510419 or 20020019791 or 20020022988 or 20020082966 ).pn.

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### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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	P02	5365425	1994-11-15		Torma et al.	364	401
	P03	5500795	1996-03-19		Powers et al.	364	401
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P08	5774881	1998-06-30		Friend et al.	705	36
P09	5802518	1998-09-01		Karaev et al.	707	9
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## Published Applications

**Note: Applicant is not required to submit a paper copy of cited US Patent Documents**

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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	U02	20020022988	2002-02-21		Columbus et al.	705	11
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	U03	20020082966	27		O'Brien et al.	705	36
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## Signature

Examiner Name	Date

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29315

PATENT &amp; TRADEMARK OFFICE

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Joseph G. GATTO

Serial No.: 09/775,599

Filed: February 5, 2001

For: SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM AND  
METHOD

Docket No.: 23449-016

Confirmation No.: 9235

Group Art Unit: 3624

Examiner: Richard C. Weisberger

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

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Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing data and any foreign priority date so that the month of publication is not an issue.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.


This Supplemental Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. 1.97(b).

An electronic Information Disclosure Statement is being filed electronically on even date.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

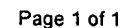
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and POPEO, P.C.

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## Form PTO-1449

Docket Number	Application Number
23449-016	09/775,599
Applicant(s)	
Joseph G. GATTO	
Filing Date	Group Art Unit
February 5, 2001	3624

## U.S. PATENT DOCUMENTS

[illegible]

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## FOREIGN PATENT DOCUMENTS

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**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

C	BROWN <i>et al.</i> , "Composite Analyst Earnings Forecasts: The Next Generation", <u>Journal of Business Forecasting</u> , Summer 1990, Vol. 9, Issue 2.
D	HO <i>et al.</i> , "Market Reactions to Messages from Brokerage Ratings Systems", <u>Financial Analysts Journal</u> , February 1998, Vol. 54, Issue 1.
E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <u>Financial World</u> , 30 January 1996, Vol. 165, Issue 2.
F	<a href="http://interactive.wsj.com/public/current/summaries/best00.htm">http://interactive.wsj.com/public/current/summaries/best00.htm</a> (1/5/01)
G	<a href="http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm">http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm</a> (1/5/01)
H	<a href="http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm">http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm</a> (1/5/01)
I	<a href="http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm">http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm</a> (1/5/01)
J	<a href="http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm">http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm</a> (1/5/01)
K	<a href="http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm">http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm</a> (1/5/01)
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M	Charles Schwab: Schwab Introduces Analytics Funds; Utilizes Quantitative Techniques to Seek Above-Market Returns.
N	MOZES <i>et al.</i> , "Modeling Earnings Expectations Based on Clusters of Analyst Forecasts", <u>The Journal of Investing</u> , Spring 1999.

**EXAMINER**

DATE CONSIDERED \_\_\_\_\_

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.